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ATTORNEY DOCKET NO: C01104/70061

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Alfred D. Ducharme, et al.
Serial No: 09/716,819
Confirmation No: 9031
Filed: November 20, 2000
For: SYSTEMS AND METHODS FOR GENERATING AND
MODULATING ILLUMINATION CONDITIONS
Examiner: Y. Quach Lee
Art Unit: 2875

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on the 4th day of November, 2002.

Janine Michalski
Janine Michalski

Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing are the following documents:

- ☒ STATEMENT FILED PURSUANT TO THE DUTY OF
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98
PTO FORM 1449 AND REFERENCES CITED
- ☒ RETURN POST CARD

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch are respectfully requested to contact the undersigned collect at (617)720-3500, Boston, Massachusetts.

Enclosed is a check in the amount of \$180.00 to cover the filing of the Information Disclosure Statement. If an additional fee is needed, it may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

Alfred D. Ducharme, et al., Applicants

By: Joseph Teja, Jr.
Joseph Teja, Jr., Reg. No. 45,157
Randy J. Pritzker, Reg No. 35,986
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600 Atlantic Avenue
Boston, Massachusetts 02210-2211
Telephone: (617) 720-3500

Docket No. C01104/70061
Date: November 4, 2002
X (NDD)



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Commissioner for Patents
Washington, D.C. 20231

STATEMENT FILED PURSUANT TO THE DUTY OF
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicants request consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed more than three months after the filing date of this application and after the mailing date of the first Office Action, but before the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, or an action that otherwise closes prosecution in this application.

The fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) is enclosed.

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PART II: Information Cited

The Applicants hereby make of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

The Applicants hereby make the following additional information of record in the above-identified application.

The Applicants would like to bring to the Examiner's attention the following co-pending applications that may contain subject matter related to this application:

<u>Serial No.</u>	<u>Filing Date</u>	<u>Inventors</u>
09/805,368	03/13/2001	Kevin J. Dowling, et al.
09/213,607	12/17/1998	Ihor A. Lys, et al.
09/215,624	12/17/1998	Ihor A. Lys, et al.
09/333,739	06/15/1999	Frederick M. Morgan, et al.
10/159,593	05/30/2002	Ihor A. Lys, et al.
09/675,419	09/29/2000	Frederick M. Morgan, et al.
10/040,292	10/25/2001	Frederick M. Morgan, et al.

PART III: Remarks

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicants makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicants, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

Alfred D. Ducharme, et al., Applicants

By: 

Joseph Teja, Jr., Reg. No. 45,157

Randy J. Pritzker, Reg No. 35,986

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FORM PTO-1449/A and B (Modified)		NOV 07 2002	APPLICATION NO.: 09/716,819	ATTY. DOCKET NO.: C01104/70061
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			FILING DATE: November 20, 2000	CONFIRMATION NO.: 9031
			APPLICANT: Alfred D. Ducharme, et al.	
			GROUP ART UNIT: 2875	EXAMINER: Y. Quach Lee
Sheet		of		

U.S. PATENT DOCUMENTS

Examiner's Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
		6,127,783		Pashley, et al.	10/03/2000
		6,411,046	B1	Muthu	06/25/2002
		6,441,558	B1	Muthu, et al.	08/27/2002

FOREIGN PATENT DOCUMENTS

Examiner's Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/ Country	Number	Kind Code			
			WO 00/14705		Wynne Willson Gottelier Limited	03/16/2000	

OTHER ART — NON PATENT LITERATURE DOCUMENTS

Examiner's Initials	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
	2	Co-Pending Application Serial No. 09/805,368, filed March 13, 2001, entitled "Light-Emitting Diode Based Products," our File No. C01104/70015	
	1	Co-Pending Application Serial No. 09/213,607, filed December 17, 1998, entitled "Systems and Methods for Sensor-Responsive Illumination," our File No. C01104/70054	
	1	Co-Pending Application Serial No. 09/215,624, filed December 17, 1998, entitled "Smart Light Bulb," our File No. C01104/70055	
	1	Co-Pending Application Serial No. 09/333,739, filed June 15, 1999, entitled "Diffuse Illumination Systems and Methods," our File No. C01104/70056	
	1	Co-Pending Application Serial No. 10/159,593, filed May 30, 2002, entitled "Linear Lighting Apparatus and Methods," our File No. C01104/70062	
	1	Co-Pending Application Serial No. 09/675,419, filed September 29, 2000, entitled "Systems and Methods for Calibrating Light Output by Light-Emitting Diodes," our File No. C01104/70073	
	1	Co-Pending Application Serial No. 10/040,292, filed October 25, 2001, entitled "Light Sources for Illumination of Liquids," our File No. C01104/70089	

EXAMINER	DATE CONSIDERED
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. __, filed __, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]